



DEPARTMENT OF CORRECTIONS POLICIES AND PROCEDURES

Policy No.: DOC 1.2.17	Subject: FEDERAL GRANT MANAGEMENT
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Section 2: Fiscal Management	Revision Date:
Signature: /s/ by Director 12/9/96	Effective Date: April 1, 1997

I. POLICY:

It is the policy of the Montana Department of Corrections to coordinate agency-wide activities associated with grants, technical assistance, grant proposals, and responses to Requests For Proposal (RFP).

II. AUTHORITY:

53-1-203, MCA. Powers and Duties of the Department of Corrections

III. DEFINITIONS:

Grant means an award of financial assistance in the form of money, or property in lieu of money, by the Federal government or a private foundation to an eligible recipient. The term includes such financial assistance when provided by contract, but does not include any Federal procurement subject to the procurement regulations in 41 CFR, nor does it include technical assistance, which provides services instead of money, or other assistance in the form of revenue sharing, loans, loan guarantees, interest subsidies, insurance, or direct appropriations. Also, the term does not include assistance, such as a fellowship or other lump sum award, which the recipient is not required to account for on an actual cash basis.

Technical Assistance means the provision of services instead of money, or other assistance in the form of revenue sharing, loans, loan guarantees, interest subsidies, insurance, or direct appropriations.

Request For Proposal means a formal request containing specifications to which a proposer must respond with a sealed proposal.

Contract means an agreement, or mutual assent, between two or more competent parties with the elements of the agreement offered, considered and accepted.

Department Grant Coordinator means the person, located in Helena, designated to maintain a complete set of active and 'in process' grant files; to coordinate, train and define grant proposal activity Department-wide and monitor current grant activities within the Department, to promote grant-related topics discussion throughout the Department, and to maintain an expanding communication network with Federal and State funding agencies.

Facility or Program Grant Coordinator means an individual specifically assigned to oversee designated grant-related activities within a facility or program.

Contract Manager means the lead position in the Contract Unit assigned the responsibility for monitoring Departmental contracts; to review and/or write new contracts for the purpose of ensuring contract consistency, uniformity and accuracy, and for supervision of all contract auditing and grant coordination activities within the Department.

Correctional Facility/Program - For the purposes of this policy, a correctional facility/program includes:

1. Montana State Prison
2. Montana Women's Prison
3. Pine Hills Youth Correctional Facility
4. Treasure State Correctional Training Center
5. Riverside Youth Correctional Facility
6. Billings Transition Center
7. Great Falls Juvenile Transition Center
8. Community Correctional Facilities under contract to the Department
9. Regional Prisons under contract with the Department
10. Administrative Services Division
11. Professional Services Division
12. Director's Office
13. Community Corrections Division

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14. Information Services Bureau
15. Montana Correctional Enterprises
16. Probation and Parole

IV. PROCEDURES:

This policy requires that each division and facility assign a staff member as Grant Coordinator for the purpose of coordinating the facility's or program's grant activities with the Department Grant Coordinator. The Department Grant Coordinator, located in Helena, will oversee, train and define all grant activities/requests for the Department.

A. Grant Management Objectives

The following objectives should be addressed when developing all grant management plans:

1. Ensure the Department aggressively pursues non-general fund revenue sources for use in the promotion of activities or projects consistent with the Department's mission.
2. Coordinate grant-funded activities within the Department and ensure available funds are used cost effectively and efficiently.
3. Submit all required financial and narrative reports to the funding agency in a timely manner.
4. Ensure that the Director's Office and all programs and facilities are aware of potential funding sources and current revenue opportunities for topics or projects within their areas of expertise.
5. Ensure the Director's Office is aware of activities or projects which are appropriate for inclusion in future grant funding proposals.
6. Ensure appropriate internal SBAS documentation is prepared to accurately account for revenue and expenditure activities related to each grant.
7. Ensure a current listing (spreadsheet) of all active grants is maintained by the Contract Unit.
8. Ensure complete files for all Departmental grants are maintained by the Contract Unit.

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9. Ensure quarterly meetings are scheduled to provide all Grant Coordinators with the opportunity to exchange grant management and related information.
10. Develop an expanding communication network with Federal and non-federal grant funding agencies for the purpose of improving grant-related information flow.
11. Ensure all Departmental grant proposals receive the necessary support and review needed to optimize their chances for successful application to funding agencies.
12. Ensure all Departmental grant proposals, with the exception of pilot projects designed to test feasibility, are considered as components within long-term plans or potentially continuing programs.

B. Administrative Process for RFP, RFI, Technical Assistance or Grant Application

A common procedure shall be used to ensure all Departmental grant application responses, proposals for funding, and requests for technical assistance are subject to review and prioritization by the Helena Office prior to submission. This is intended to ensure non-duplication of effort and also to ensure that funds are allocated for uses consistent with the Department's agreements with the legislature.

1. Review of grant-related activities at the Helena Office

- a. Upon receipt of a grant proposal or other funding opportunity notice, the Contract Unit will begin the internal review process by assigning a Department identification number. All relevant information including topic, submission deadline date (if known) and project specific details will be recorded in the grant log.
- b. The Department Grant Coordinator will review all available information and provide copies, with attached descriptive memoranda and a discussion of possible applications, to the Administrative Services Division (ASD) Administrator and the Contract Manager.

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The ASD Administrator and Contract Manager will review the documentation and determine if a grant proposal would be cost-effective, if the funding has already been earmarked for another specific use, or if additional discussion or information will be required prior to making a decision.

2. Following this preliminary review process, the Department Grant Coordinator will respond with one or more of the following actions:

- a. Contact the funding agency to obtain specific additional information and/or request copies of additional proposal-related materials.
- b. Provide a copy of the proposal to the Department Research Manager for data analysis and review to determine if the Department is able to meet specific terms or agency requirements listed within the document and/or if required information can be obtained in time to prepare a response within funding agency time lines.
- c. Send a copy of the proposal, any additional information provided by the funding agency, and a memorandum indicating application time lines to one of the following (depending upon the anticipated scope of the project):
 - (1) All Department facilities and programs for their review to determine those interested in applying and those who need additional information or discussion prior to making a decision; or,
 - (2) Only those Department facilities and programs determined by the Helena Office to meet eligibility requirements specified within the application.

In both cases, feedback from all Department facilities contacted will be solicited to determine understanding of the proposal, interest level and, if they intend to prepare an application, the specific projects or topics they intend to propose.

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- d. If, following the review process and discussion within the Department, a decision is made NOT to submit a proposal, the Department Grant Coordinator will complete a Memorandum of Record briefly listing the reasons for the decision and close the file.

3. If the Helena Office decides an application for funding should be completed by program/facility staff at a location other than the Helena Office, the following process will occur:

- a. The Department Grant Coordinator will contact the funding agency to determine if supplementary information and/or documentation has been published, if other instructional materials related to the project are available, and the name of the project contact person at the funding agency. This information will be provided to the application writing team at the selected site.
- b. The individual writing the application at the facility/program will be determined and contacted by the Department Grant Coordinator to determine the resources, data and/or additional personnel required for completion of a successful project.
- c. If more than one program or facility within the Department intends to compete for a limited amount of available funding, each will receive a complete set of all information and written notification of the internal deadline for receipt of applications. If the Director or Department intends to prioritize successful applicants, evaluation criteria will be provided to all applicants at the onset of the process or as soon as these criteria are determined.
- d. Helena Office assistance for all programs and facilities completing applications will be provided upon request. This includes data related to personnel costs, fiscal information, purchasing requirements and/or demographic data. Requests will be forwarded by the Department Grant Coordinator to the Research Manager, Fiscal

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Bureau Chief, Personnel Officer or other appropriate individuals. If necessary, the Department Grant Coordinator will also contact the funding agency for explanation and/or amplification of specific requirements or terms within the proposal request.

- e. At the request of submitting facilities/programs, and when funding agencies have provided specific proposal criteria, the Helena Office may proof-read proposals, review them for content to ensure they specifically respond to all requirements, and if necessary, return them to the submitting program or facility for modification and resubmission. This process must be completed with sufficient time remaining to allow the application to be mailed or delivered prior to the funding agencies= deadline date.
- f. When more than one application has been submitted for limited funding, all proposals will be reviewed within three (3) working days following the Helena Office cutoff date for receipt.

All proposals arriving at Helena Office prior to the deadline date will be reviewed and scored on the basis of previously established criteria. If several proposals are competing, proposals will be prioritized based on objective scoring which will include proposal completeness and Departmental programmatic needs.

- g. Following completion of the selection process, the successful program/facility will be contacted by the Department Grant Coordinator for discussion which can include necessary modifications and/or adjustments in funding requests. All proposal modification issues will be resolved prior to submission of the proposal to the funding agency.
- h. If several proposals are competing for limited funds, the Department Grant Coordinator will contact all participating facilities and programs verbally to discuss

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the selection process, and if their proposal was selected. In addition, written notification of decisions will be sent to all applicants.

Applicants which are not approved by the Department will be provided with specific reasons for denial. They will also be given the opportunity to submit a written response to the Department Grant Coordinator.

- i. The final proposal will be sent by certified mail or hand carried to the funding agency by the deadline date.

4. Following completion of the grant application process:

If the proposal was selected and funding is pending:

- a. The award letter will be placed in the appropriate grant file in the Helena Office and the process of establishing SBAS documentation will be implemented.
- b. All applications and award letters will be reviewed to determine specific reporting requirements, goals and objectives, and tracking requirements.
- c. The grant award will be reviewed with the appropriate individuals from the facility which submitted the grant. A determination will be made about who will be responsible for submission of required fiscal and/or narrative reports.
- d. Review all contract reporting requirements to ensure they are understood and that appropriate responses will be prepared.

If the proposal was not funded:

- a. Add the rejection letter to the Helena Office file.

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- b. Contact the funding agency to determine specific reasons the proposal was not funded. Prepare a memorandum detailing positive and negative evaluation information for the file.
 - c. Determine if subsequent funding will be available for resubmission of a modified proposal, if a resubmission with adjustments addressing the selection committee's concerns would be favorably received, and the probable date of any upcoming funding.
- 5. **Processing of Technical Assistance requests originated by the Department:**
 - a. Upon receipt of a technical assistance application or inquiry at the Contract Unit, staff will begin tracking the proposal by recording the topic, suggested funding agency, submitting program or facility, and specific related information.
 - b. The Contract Unit will open a grant proposal file which includes all available information including the Technical Assistance Request.
 - c. A memorandum will be sent to the technical assistance applicant indicating that the Helena Office has begun tracking the request.
 - d. Following review and approval by the Director, the request for technical assistance will be submitted.
 - e. Copies of letters of approval, reports, and the final evaluation will be retained in the Helena Office files.
 - f. If the technical assistance request is denied or postponed, the funding agency will be contacted to determine if resubmission is required or if the request needs major revision to be accepted.

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The original denial or postponement notice will be forwarded to the submitting agency; the Contract Unit will save a file copy, and an informational copy will be sent to the Training Unit.

- g. If the Technical Assistance project is approved:
Copies of all correspondence will be filed at the Helena Office, which will also offer a wide variety of specialized assistance which may be needed during the project. This can include transportation coordination, scheduling conferences, researching Montana specific data, ensuring staff availability and coordinating with State and local authorities.
- h. Following completion of the technical assistance, a questionnaire will be sent by the Department Grant Coordinator or the Training Manager to the consultant to assess how the Department can improve its support functions (facilities, travel arrangements, personnel availability, etc.). Responses will be added to the appropriate file and a copy provided to the Director's Office.

V. CLOSING

Questions concerning this policy shall be directed to the Department Contract Manager or Department Grant Coordinator.